

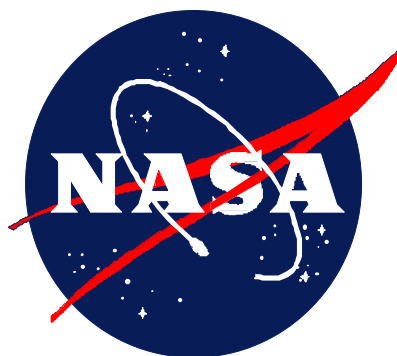
Office Work Instruction

HOWI 5100-Y014A

Effective Date: April 30, 1999

Responsible Office: YB/Business Management Division

Subject: Obtain Approval for Release of Solicitation Instrument



OFFICE WORK INSTRUCTION

**OBTAIN APPROVAL
FOR RELEASE OF
SOLICITATION INSTRUMENT**

(Conforming to ISO 9001 Quality System Requirements)

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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		11/30/98	
Revision	A	4/30/99	<p>Document History Log: Remove "Draft" as a Status option.</p> <p>Section 2.0: Renamed section to "Scope and Applicability."</p> <p>Section 4.0: Removed references not specifically called out in procedure.</p> <p>Section 5.0: Removed "Original" from title of Quality Record of Activity # 8 to be consistent with referencing HOWIs. Deleted output of Activity # 20, "Released Solicitation Package," since it was a conceptual product.</p> <p>Section 6.0: Added language to Activities # 2 and # 6 indicating the concurrence cover sheet stays with the draft solicitation package until all concurrences are received. Provided more detail on the structure of the solicitation number and the logging in of solicitation packages in Activity # 7. Added information from NFS 1835 on the contents of a CBD synopsis in Activity # 11. Added notification of CBD synopsis posting in Activity # 12.</p> <p>Section 7.0: Added NPG 1441.1 reference. Removed "Original" from the title of the Quality Record. Changed mapping from NPG Schedule 5, "Industry Relations and Procurement," to NPG Schedule 7, "Program Formulation</p>

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PREFACE

The NASA Office Work Instruction (OWI) for Obtain Approval for Release of Solicitation Instrument documents the tasks and activities in conformance with the International Organization for Standardization's (ISO) 9001 requirements for quality systems. The OWI supplements the *NASA Strategic Plan*, the *NASA Strategic Management Handbook*, and other higher level NASA directives, which form the basis for how NASA conducts business.

This OWI is not intended to duplicate or contradict any other NASA policy, procedures or guidelines, which currently exist. As such, the OWI will reference prevailing documents where a topic is addressed and existing coverage is deemed adequate. Additional information provided within is intended to supplement existing documentation regarding Headquarters (HQ) implementation of strategic and program/project management, as well as HQ conformance with the ISO 9001 Quality Management System (QMS) requirements.

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1.0 PURPOSE

This OWI documents the NASA Earth Science Enterprise (ESE) procedure for releasing solicitation instruments.

2.0 SCOPE AND APPLICABILITY

2.1 Scope. The ESE procedure for obtaining approval for public release of a solicitation includes receiving the draft solicitation package and checking it for completeness, obtaining required concurrence and revising as necessary, obtaining the ESE Associate Administrator's (AA's) approval, printing and distributing the solicitation, posting the solicitation announcement in the Commerce Business Daily (CBD), and posting the solicitation itself on the ESE Home Page. This process applies to the release of NASA Research Announcements (NRAs), Announcements of Opportunity (AOs), and Cooperative Agreement Notifications (CANs).

The ESE obtains approval for solicitation release as part of solicitation development procedures. As such, ESE executes this process in support of higher-level processes as documented by HOWI 7120-Y003, *Formulate and Approve Flight Missions*, and HOWI 8310-Y005, *Solicit and Select Science, Applications, Education, and Technology Investigations*.

The solicitation initiator and the Research Opportunity Administrator play primary roles in this procedure. The solicitation initiator is usually a science, applications, education, or technology program manager, but could be a division director, deputy division director, or someone such as a discipline scientist who is not a program manager. The Research Opportunity Administrator from the Business Management Division (Code YB) provides administrative support.

2.2 Applicability. This work instruction for Obtain Approval for Release of Solicitation Instrument applies to the NASA Office of Earth Science (OES, Code Y) offices and divisions. The Associate Administrator for Earth Science is responsible for maintaining this document. The controlled version of this OWI is available on the World Wide Web (WWW) via the HQ ISO 9000 Document Library at <http://hqiso9000.hq.nasa.gov>. Any printed version of this OWI is uncontrolled (reference: HCP 1400.1, *Document and Data Control*). Proposed revisions will be accomplished by following HOWI 1410-Y015, *Approve Quality Documents*.

3.0 DEFINITIONS

Appendix B of the *Earth Science Enterprise Management Handbook* provides ESE-specific terms and definitions.

4.0 REFERENCES

The following documents contain provisions that, through reference in this OWI or in policy or procedure documents, constitute the basis for the documented procedure:

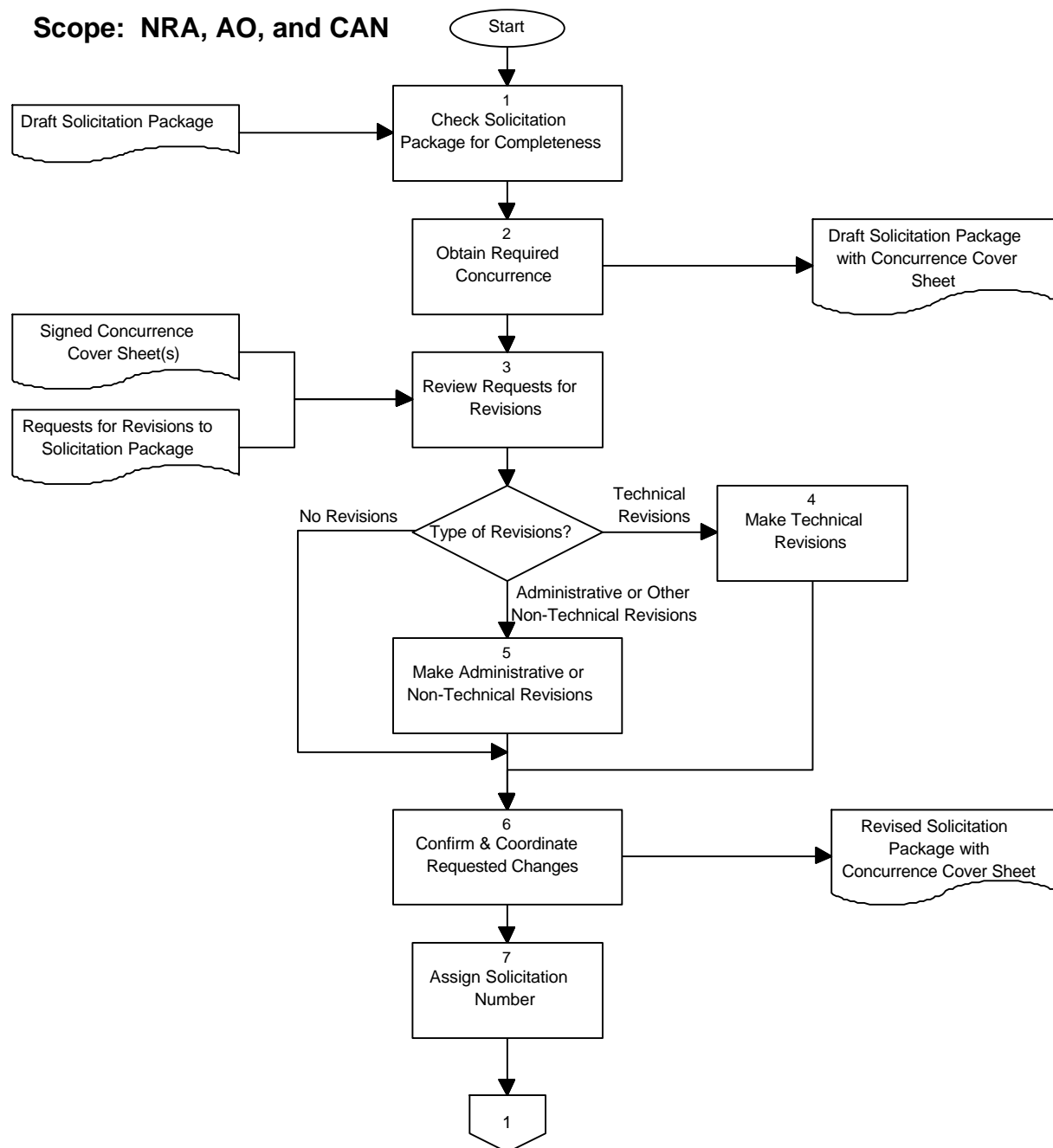
NFS Part 1835	NASA FAR Supplement, Part 1835, Research and Development Contracting
NFS Part 1871	NASA FAR Supplement, Part 1871, MidRange Procurement Procedures
NFS Part 1872	NASA FAR Supplement, Part 1872, Acquisition of Investigations
NPG 5800.1	Grant and Cooperative Agreement Handbook

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5.0 FLOWCHART

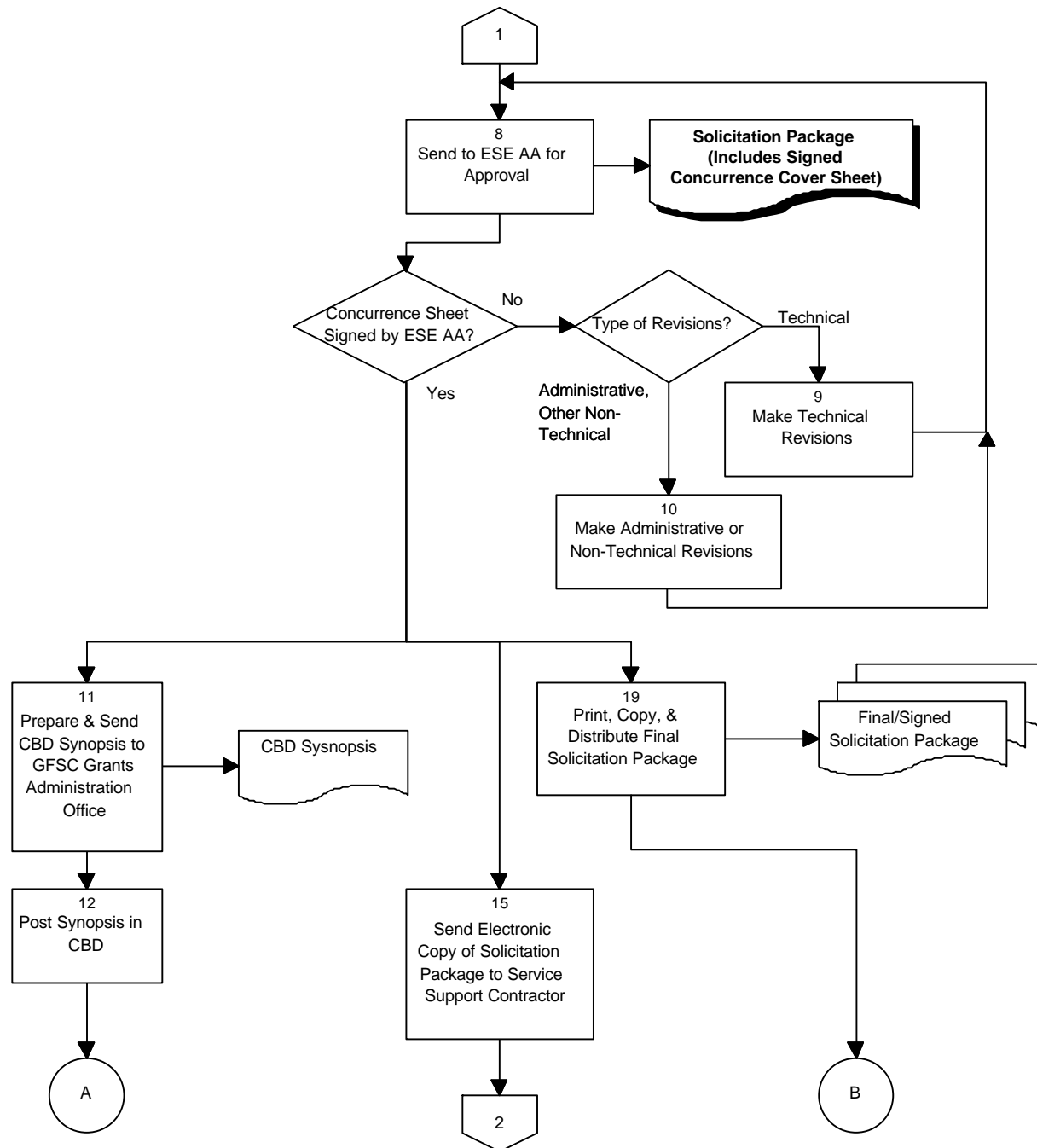
The following flowchart depicts the procedure described in Section 6. The output in boldface type represents the quality record listed in Section 7.

Scope: NRA, AO, and CAN



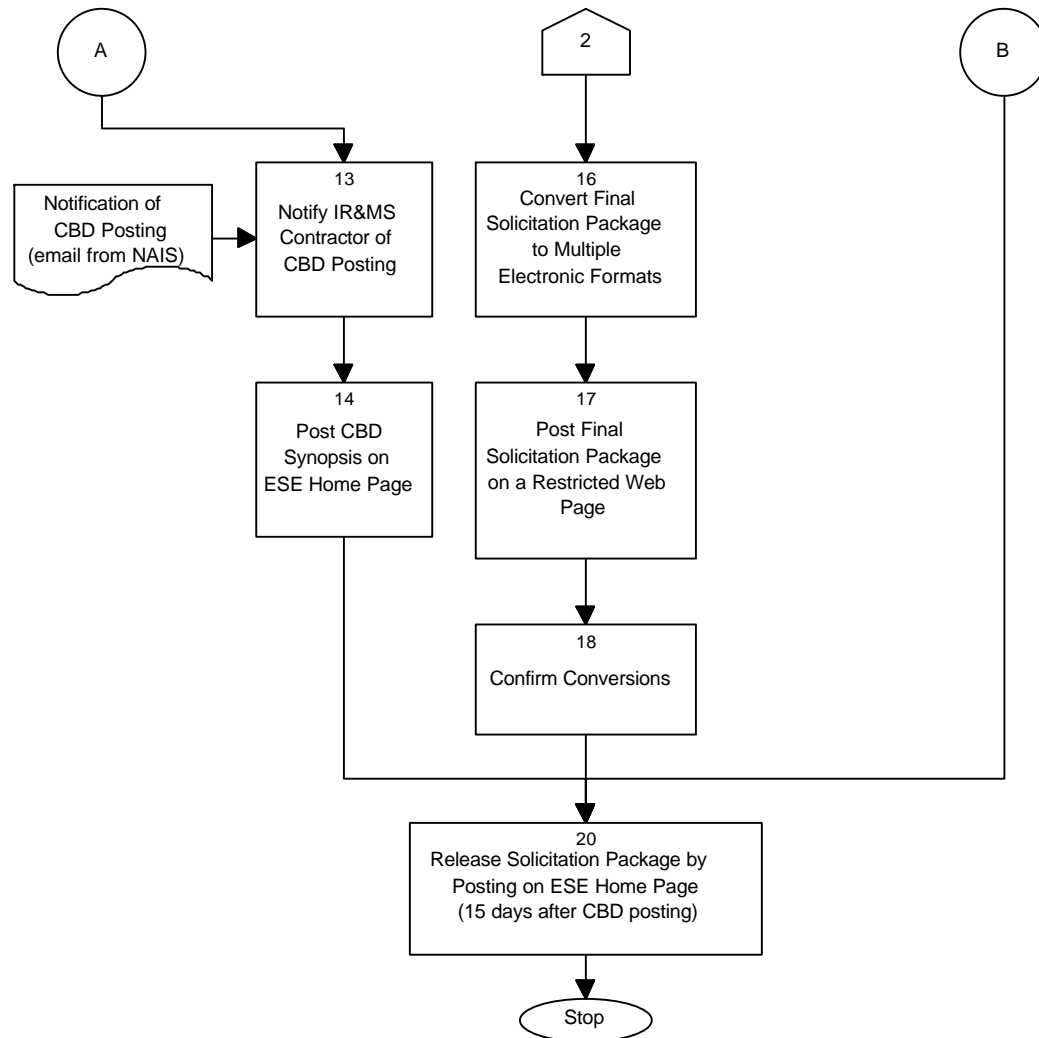
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5.0 FLOWCHART (CONTINUED)



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5.0 FLOWCHART (CONTINUED)



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6.0 PROCEDURE

The following table describes the flowchart of Section 5.

<u>Actionee</u>		<u>Action</u>
Research Opportunity Administrator	1	<p><u>Check Solicitation Package for Completeness.</u> The Research Opportunity Administrator receives a draft solicitation package from the solicitation initiator and reviews the package for completeness. In particular, the Research Opportunity Administrator checks for the following:</p> <ul style="list-style-type: none"> • Solicitation cover page, • Instructions for responding to the solicitation, • Investigation requirements, • Proposal cover sheet, • Certification templates, • Budget summary template and instructions for completing the budget summary, • Concurrence sheet, • Request for electronic letter of intent, • Guidelines for foreign participation, and • Sample CBD synopsis text and format. <p>If the solicitation package is incomplete, the Research Opportunity Administrator provides guidance and works with the solicitation initiator to produce a complete solicitation package.</p>
Research Opportunity Administrator	2	<p><u>Obtain Required Concurrence.</u> Once the solicitation package is complete, the Research Opportunity Administrator distributes the solicitation package to the individuals and offices indicated on the concurrence sheet. The concurrence sheet is kept with the draft solicitation package and signed as indicated reviewers concur with the content.</p> <p>Some concurrences may be obtained in parallel using duplicate packages, but others must be obtained in series. It is usual to obtain all but the final Code Y concurrence before seeking concurrence from Codes I, H and G (External Relations, Business Office, and General Counsel respectively). At a minimum, the concurring individuals within the originating division should include the solicitation initiator and the appropriate division director.</p>
Research Opportunity Administrator	3	<p><u>Review Requests for Revisions.</u> The Research Opportunity Administrator receives the signed concurrence cover sheets and reviews any requests for revisions. If the revisions are administrative in nature, the Research Opportunity Administrator will make the necessary changes (see Activity 5). If the revisions are for technical changes, the Research Opportunity Administrator will pass the requests to the solicitation initiator who will make the appropriate changes (see Activity 4). If there are no revisions,</p>

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- the process proceeds directly to Activity 7, Assign Solicitation Number.
- Solicitation Initiator 4 Make Technical Revisions. In the event that the concurrence process resulted in requests for technical revisions to the solicitation package, the solicitation initiator reviews the requests and, based on his or her professional judgment, makes changes. In some cases, this will require additional analysis and coordination.
- Research Opportunity Administrator 5 Make Administrative or Non-Technical Revisions. If the requests for revisions are administrative or non-technical in nature, the Research Opportunity Administrator reviews the requests and, based on his or her professional judgment, makes the changes to the solicitation package. In some cases, this will require additional analysis and coordination.
- Research Opportunity Administrator
Solicitation Initiator 6 Confirm and Coordinate Requested Changes. Together, the Research Opportunity Administrator and the solicitation initiator review the resulting changes, confirm they were made and are appropriate, and engage in any additional coordination or follow-up activities necessary to complete the solicitation package prior to review by the ESE AA. Follow-up activities include ensuring all concurrence signatures have been obtained on the solicitation package's concurrence sheet.
- Research Opportunity Administrator 7 Assign Solicitation Number. Once the solicitation package is completed and coordinated, the Research Opportunity Administrator assigns a solicitation number. The solicitation numbers indicate the type of solicitation instrument, the year of the solicitation, the enterprise responsible for the solicitation (Office of Earth Science (OES)), and the sequence of the solicitation. For example, the following are the first solicitation numbers in 1999 for NRAs, AOs, and CANs respectively: NRA99OES01, AO99OES01, and CAN99OES01.
- The Research Opportunity Administrator also logs in the solicitation package. This is done in an Excel spreadsheet file maintained exclusively by the Research Opportunity Administrator. The minimum information recorded includes: the solicitation title, the solicitation number, the name of the solicitation initiator, and the solicitation release date.
- Research Opportunity Administrator 8 Send to ESE AA for Approval. The Research Opportunity Administrator sends the completed solicitation package to the ESE AA for review and approval. If the ESE AA signs the concurrence cover sheet then the process proceeds to the steps associated with releasing the solicitation (see Activities 11, 15, and 19). If the ESE AA requests revisions, then the Research Opportunity Administrator makes administrative or non-technical changes to the solicitation package (see Activity 10), while the solicitation initiator makes technical changes (see Activity 9). After the changes are made the solicitation package is sent back to the ESE AA.
- Solicitation Initiator 9 Make Technical Revisions. In the event that the ESE AA requests technical revisions to the solicitation package, the solicitation initiator reviews the requests makes the requested changes. In some cases, this will require additional analysis and coordination.
- Research Opportunity 10 Make Administrative or Non-Technical Revisions. If the requests for revisions are administrative or non-technical in nature, the Research

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| Administrator | | Opportunity Administrator reviews the requests and makes the requested changes. In some cases, this will require additional analysis and coordination. |
| Research Opportunity Administrator
Solicitation Initiator | 11 | <u>Prepare and Send CBD Synopsis to GFSC Grants Administration Office.</u> Together, the Research Opportunity Administrator and solicitation initiator prepare a brief synopsis of the solicitation for inclusion in the CBD. The technical section of the synopsis shall contain no more than 50 words (reference NFS 1835.016-70(b)(2)). This synopsis is sent to Goddard Space Flight Center (GSFC) Grants Administration Office electronically. This office is responsible for ensuring the synopsis gets posted in the CBD. |
| Goddard Space Flight Center Grants Administration Office | 12 | <u>Post Synopsis in CBD.</u> GSFC Grants Administration Office posts the solicitation synopsis in the CBD 15 days prior to release of the solicitation. The GSFC Grants Administration Office then sends an email to the Research Opportunity Administrator indicating the CBD synopsis has been posted. |
| Research Opportunity Administrator | 13 | <u>Notify IR&MS Contractor of CBD Posting.</u> The Research Opportunity Administrator receives an email via the NASA Automated Information System (NAIS) that indicates the solicitation synopsis has been posted in the CBD. At that time, the Research Opportunity Administrator sends the CBD synopsis to the NASA HQ Information Resources and Management Support (IR&MS) contractor. |
| IR&MS Contractor | 14 | <u>Post CBD Synopsis on ESE Home Page.</u> Upon notification from the Research Opportunity Administrator that the solicitation synopsis has been posted in the CBD, the NASA HQ IR&MS contractor posts the synopsis on the ESE Home Page. |
| Research Opportunity Administrator | 15 | <u>Send Electronic Copy of Solicitation Package to Service Support Contractor.</u> After the ESE AA approves the solicitation package by signing the concurrence cover sheet (see Activity 8), the Research Opportunity Administrator sends an electronic copy of the solicitation package to ESE's Service Support Contractor for conversion into multiple electronic formats. |
| Service Support Contractor | 16 | <u>Convert Final Solicitation Package to Multiple Electronic Formats.</u> The Service Support Contractor, upon receipt of an electronic version of the approved solicitation package, converts the solicitation package into multiple formats. These formats include postscript, HTML, PDF, MS Word, and ASCII Text. These multiple representations of the solicitation package are then sent to the IR&MS contractor. |
| IR&MS Contractor | 17 | <u>Post Final Solicitation Package on a Restricted Web Page.</u> The IR&MS contractor posts the final solicitation package in its many formats on a restricted web page that can be accessed only by the IR&MS contractor and the Research Opportunity Administrator. |
| Research Opportunity Administrator
Solicitation Initiator | 18 | <u>Confirm Conversions.</u> The Research Opportunity Administrator and solicitation initiator review the format conversions for accuracy. At the appropriate time, the Research Opportunity Administrator forwards the multiple formats to the IR&MS contractor for posting on the ESE Home Page (no sooner than 15 days after the CBD announcement). |

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- Research Opportunity Administrator 19 Print, Copy, and Distribute Final Solicitation Package. After the ESE AA approves the solicitation package by signing the concurrence cover sheet (see Activity 8), the Research Opportunity Administrator prints a copy of the final solicitation package and has hard copies made using the NASA HQ internal printing capabilities. Typically, the Research Opportunity Administrator makes and distributes 10 copies for the solicitation initiator, 15 copies for the Research Opportunity Administrator's files, and 50 copies for the Service Support Contractor.
- IR&MS Contractor 20 Release Solicitation Package by Posting on ESE Home Page (15 days after CBD posting). The IR&MS contractor posts the solicitation package on the ESE Home Page on the date specified by the Research Opportunity Administrator. This date is no less than 15 days after the solicitation announcement in the CBD.

7.0 QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA Electronic or Hardcopy	SCHEDULE AND ITEM NUMBERS*	RETENTION / DISPOSITION
Solicitation Package (Includes Signed Concurrence Cover Sheet)	Research Opportunity Administrator	Kept by Research Opportunity Administrator	Hardcopy	Schedule 7, Item 8, "NASA Research Announcement."	Transfer all files to the responsible division / project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.

* Quality Records are retained in accordance with the referenced schedule and item numbers from NPG 1441.1, *NASA Records Retention Schedules*.